

**AIR FORCE SMALL BUSINESS INNOVATION RESEARCH (SBIR)/  
SMALL BUSINESS TECHNOLOGY TRANSFER (STTR) PROGRAMS  
PHASE I AND II CERTIFICATIONS – LIFE CYCLE SUBMISSION**

All SBIR/STTR Phase I and II awardees must complete this certification document at the following times: Phase I awardees – prior to receipt of final payment; Phase II awardees – prior to receipt of more than half the total contract award amount AND before receipt of final payment. All questions must be answered and an authorized officer of the company must sign and date it prior to submission.

The information included in this document will be used to determine a firm's continued eligibility for contract performance under the SBIR/STTR Programs. Definitions for terms used in this document are set forth in the Small Business Act (13 CFR Part 121), the Small Business Administration (SBA) SBIR and STTR Policy Directives, and statutory/regulatory provisions referenced within those authorities.

If the Government Contracting Officer (CO) believes the firm does not meet size eligibility requirements, the CO may request supporting documentation and clarifying information to assist in verification of contractor information already received.

Accurate representations/verifications/certifications made in this document are a condition of payment and constitute information upon which the Air Force relies. Payments to a company that improperly represents it meets the appropriate requirements when it does not prevents the Air Force from properly administering the SBIR/STTR Programs.

No information already provided to the Federal Government affects its right to pursue criminal, civil, or administrative remedies for incorrect or incomplete information provided in this document or on the proposal coversheet. Signatory authorities for this document may be prosecuted if false information is provided.

The undersigned has reviewed, verified, and certifies:

1) The prime contractor met/meets the ownership and control requirements of a small business concern set forth in 13 CFR 121.702.    ☐ Yes    ☐ No

2) The principal investigator spends/spent more than one-half of his/her time as an employee of the prime contractor (or, for STTR Phase I and II, the partnering research institution) OR this requirement was waived in writing by the CO. Note: You must receive approval from the cognizant Contracting Officer if the principal investigator will change in accordance with the terms of your contract.

☐ Yes    ☐ Waived in writing by CO; actual percentage  %    ☐ No

3) Has any essentially equivalent work, or a portion thereof, performed under this project, even if submitted to another Federal agency for funding, been funded by another Federal grant, contract, subcontract, or other type of agreement?    ☐ No    ☐ Yes

If "Yes", a portion or all has been funded by another Federal grant, contract, subcontract, or other agreement, please identify the following:    Agency/Agreement Type/Agreement

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The cognizant Air Force Contracting Officer was immediately notified. ☐ Yes ☐ No

Date/Mean of Notification \_\_\_\_\_

Contracting Officer Name/Email Address/Phone # \_\_\_\_\_

STTR Contractors skip to question 6

4) SBIR PHASE II MID-EFFORT CERTIFICATION - Upon completion of the effort, the prime contractor will have performed the required portion of the work, i.e., minimum one-half for Phase II, or obtained a waiver in writing from the CO.

☐ Yes ☐ Waived in writing by CO; actual percentage \_\_\_\_\_% ☐ No

5) SBIR PHASE I AND II FINAL CERTIFICATION – Work is completed and the prime contractor has performed the required portion of the work, i.e., two-thirds for Phase I or one-half for Phase II, or obtained a waiver in writing from the CO.

☐ Yes ☐ Waived in writing by CO; actual percentage \_\_\_\_\_% ☐ No

SBIR Contractors skip to question 8

6) STTR PHASE II MID-EFFORT CERTIFICATION- Upon completion of the effort, the prime contractor will have performed its required portion of the work, i.e., minimum forty percent (40%), and the partnering Research Institution will have performed its required portion of the work, i.e., minimum thirty percent (30%), or obtained a waiver in writing from the CO.

☐ Yes ☐ Waived in writing by CO; contractor actual percentage \_\_\_\_\_% research partner actual percentage \_\_\_\_\_% ☐ No

7) STTR PHASE I AND II FINAL CERTIFICATION – Work is completed and the prime contractor has performed the required portion of the work, i.e., minimum forty percent (40%) and the partnering Research Institution will have performed its required portion of the work, i.e., minimum thirty percent (30%), or obtained a waiver in writing from the CO.

☐ Yes ☐ Waived in writing by CO; contractor actual percentage \_\_\_\_\_% research partner actual percentage \_\_\_\_\_% ☐ No

8) If applicable, the firm has registered in the SBA database as majority-owned by a venture capital operating company (VCOC), hedge fund, or private equity firms. (**NOTE:** IAW Section 4.4 of the DoD SBIR Solicitation, firms owned by multiple VCOCs, hedge fund, or private equity firms are INELIGIBLE to receive awards under the DoD SBIR/STTR Programs unless the aggregate of all owners, affiliates, subsidiaries, and other firms in which they invest meets the requirements of a small business concern as found in 13 CFR 121.702.)

☐ Yes ☐ No ☐ N/A Explain: \_\_\_\_\_

9) The awarded research/research and development (R/R&D) is being/has been performed in the United States; or a deviation has been approved in writing by the Government Contracting Officer.

\_\_\_\_ Yes    \_\_\_\_ No    \_\_\_\_ N/A    Explain: \_\_\_\_\_

10) Performance is taking/has taken place at the prime contractor's facilities with the prime contractor's employees, except as otherwise identified in the proposal, agreed to during contract negotiations, and approved through bi-lateral signature of the resulting contract or subsequent modifications.

\_\_\_\_ Yes    \_\_\_\_ No    \_\_\_\_ N/A    Explain: \_\_\_\_\_

11) The firm understands information submitted may be provided to Federal, State, and/or local agencies to be used for determining violations of law and other purposes. \_\_\_\_ Yes

The undersigned is an officer of the business concern and authorized to represent and sign this certification on its behalf. By signing this certification, the undersigned certifies the information provided in this document and the proposal coversheet, as well as all information within the proposal, is true and correct as of the date of proposal submission. The undersigned understands any intentional or negligent misrepresentation of the information contained in this document, the proposal coversheet, or any other part of the proposal may result in criminal, civil, or administrative sanctions, including but not limited to: fines, restitution, and/or imprisonment under 18 USC 1001; treble damages and civil penalties under the False Claims Act, 31 USC 3729 et seq.; double damages and civil penalties under the Program Fraud Civil Remedies Act, 31 USC 3801 et seq.; civil recovery of award funds; suspension and/or debarment from all Federal procurement and non-procurement transactions, FAR Part 9.4 or 2 CFR Part 180; and other administrative penalties including termination of active SBIR/STTR awards.

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Signature

Date

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Printed Name (First, MI, Last)

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Position Title

Company Name